

UNITED STATES DISTRICT COURT  
FOR THE SOUTHERN DISTRICT OF TEXAS  
HOUSTON DIVISION

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SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

v.

STEPHEN B. GRAY,

Defendant.

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Civil Action No. 4:13-cv-2186

**JOINT STATUS REPORT**

Pursuant to the Court's November 13, 2013 Order [Doc. 10], Plaintiff Securities and Exchange Commission ("Commission") and Defendant Stephen B. Gray ("Gray") submit this Joint Status Report, and respectfully show as follows:

1. On November 13, 2013, the Court entered an Agreed Partial Judgment as to Stephen B. Gray, which resolved all issues of liability in this matter, and left open only the Court's determination of the appropriate amount of monetary relief to be awarded to the Commission.
2. On September 5, 2014, a Criminal Information was filed against Gray, in the parallel matter *United States v. Stephen B. Gray*, Case No. 4:14-cr-438 (S.D. Tex. [Houston]) (Harmon, J.), which arose from the same facts and circumstances as the instant case. Based on this development, the parties are confident that a settlement is possible, and will be working in good faith towards a resolution of this matter in the next 60 days.
3. The parties will update the Court if and when a settlement is reached, but in any event, no later than November 10, 2014, which is the date the next status report is due.

DATED: September 9, 2014

Respectfully submitted,

/s/Jennifer D. Brandt

Jennifer D. Brandt

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COUNSEL FOR PLAINTIFF

DATED: September 9, 2014

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PRO SE DEFENDANT

### CERTIFICATE OF SERVICE

I affirm that on September 9, 2014, I electronically filed the foregoing document with the Clerk of the Court for the Southern District of Texas, Houston Division, and have served all parties in accordance with Fed.R.Civ.P.5(b)(2).

/s/ Jennifer D. Brandt

Jennifer D. Brandt